
CITY OF HOUSTON, TEXAS

Department of Public Works and Engineering



REQUEST FOR QUALIFICATIONS

(RFQ #DB15-01)

to provide

Design-Build Services

for the

Northeast Water Purification Plant Expansion

STATEMENT OF QUALIFICATIONS (SOQ)

SUBMITTAL DEADLINE:

2:00 P.M. Central Standard Time, Tuesday, April 21, 2015

SOQ SUBMITTAL LOCATION:

Attn: Mr. Jeffrey Benjamin, Project Director

**City of Houston
Department of Public Works and Engineering
611 Walker, 19th Floor
Houston, Texas 77002**

City of Houston, Texas

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Section 1 Background

1.1 Introduction

The City of Houston (City) will use the design-build contracting method to deliver the Northeast Water Purification Plant (NEWPP) Expansion (Project). The City will employ the two-step procurement process for selecting the entity that will serve as the design-builder for the Project (Design-Builder), as provided for by Chapter 2269, Subchapter H of the Texas Government Code (Enabling Law). The City has determined that it may use the design-build contracting method, and that the design-build method is appropriate for this single integrated water treatment project in accordance with the Enabling Law. To fund the Project, the City has entered into cost sharing agreements (Second Supplements) with each of the following four regional entities: the North Harris County Regional Water Authority, the West Harris County Regional Water Authority, the Central Harris County Regional Water Authority, and the North Fort Bend Water Authority (collectively, Authorities).

This Request for Qualifications (RFQ) represents the first step of the procurement process and establishes the process for soliciting and evaluating Statements of Qualifications (SOQs) from those entities (Respondents) interested in serving as the Design-Builder. The SOQs will be reviewed and evaluated in accordance with this RFQ to develop a shortlist (Shortlist) of qualified Respondents (Shortlisted Respondents) in accordance with the Enabling Law. Only those Respondents selected as Shortlisted Respondents will be issued a Request for Proposals (RFP) and invited to submit a proposal in response to the RFP.

The RFP will represent the second step of the procurement process and will solicit detailed technical and cost proposals (Proposals) from the Shortlisted Respondents in accordance with the requirements of the Enabling Law. The RFP will provide the Design Criteria Package, detailed requirements for preparing the Proposals, the relative weighting of technical and cost proposals, and the formula by which the Proposals will be ranked, among other matters. The award of a Design-Build Agreement will be subject to the terms and conditions of the RFP. This RFQ is not a tender or an offer or a request for proposals, and there is no intention by the City to make an offer by issuing this RFQ.

Respondent must be thoroughly familiar with the scope of work and performance requirements discussed in this RFQ. The City may disqualify any Respondent that fails to demonstrate such familiarity in its SOQ.

1.2 Contracting Approach

The Design-Builder's scope of work for the Project will be performed in two distinct phases under the Design-Build Agreement between the City and Design-Builder. The RFP will contain a draft of the Design-Build Agreement and will address how the Shortlisted Respondents may provide comments on the draft. These phases are generally described as follows:

- Phase I: Phase I services under the Design-Build Agreement will generally provide for Design-Builder to: (a) perform design development; (b) perform pre-construction services; and (c) prepare, submit and negotiate a commercial proposal for Phase II services, including a Guaranteed Maximum Price (GMP) for Phase II services.
- Phase II: Phase II services under the Design-Build Agreement will generally provide for the Design-Builder to complete the entirety of the Project's design and construction, as well as perform post-construction tasks, such as commissioning, performance testing, and operations and maintenance (O&M) advisory services. A condition precedent to the commencement of Phase II will be the agreement between the City and Design-Builder of a GMP Amendment for Phase II services, as further discussed in Section 3.2 of this RFQ.

1.3 City's Objectives

The City's objectives for delivery of the Project are as follows:

- **Quality:** Provide treatment facilities and equipment that will be sustainable and will reliably produce required quantities of treated water in full compliance with federal and state regulations and contractual standards for water quality over the range of raw water quality conditions.
- **Cost:** Obtain the most cost effective design and construction that will optimize the total cost of ownership for the City.
- **Schedule:** Achieve the scheduled completion dates for design, construction, and performance testing of the Project.
- **Operations and Maintenance:** Optimize operating and maintenance requirements so that the facility is capable of reliably and continuously producing treated water production requirements in a cost-effective manner over the long term.
- **Public:** Provide a safe and effective project that minimizes nuisance impacts to the public.
- **Risk:** Achieve an optimal balance of risk allocation between the City and the Design-Builder.
- **Safety:** Implement an effective safety program incorporating industry best practices.
- **Accountability:** Design-Builder to provide for a single point of accountability for performance of all services under the Design-Build Agreement.
- **Collaboration:** Provide for coordinated design development, with the Design-Builder eliciting City input in a manner that preserves Design-Builder's sole responsibility for the achievement of Project performance objectives while meeting City objectives associated with cost, quality, aesthetics, and long-term operability.

1.4 Project Reference Documents

Attachment B (Project Reference Documents) is being provided only for the purpose of giving Respondents general background information about the Project. The City makes no representation as to the accuracy or completeness of any of the information included in the Project Reference Documents. Respondents should recognize that the City, in choosing to implement the Project through the design-build contracting method, is seeking private sector expertise in the development of the Project. To the extent that any Project Reference Documents include design solutions or related information, such information does not necessarily represent the optimal or specific Project features that will be included in the Design Criteria Package or that the Design-Builder will be required to develop in response to the RFP or under the Design-Build Agreement. Such information should not be relied upon for any reason.

1.5 Defined Terms

The capitalized terms in this RFQ have the meanings as first used in the text of this RFQ and as defined in Attachment A (Definition of Terms).

1.6 RFQ Subject to Revision

This RFQ is subject to revision after the date of issuance via written addenda (Addenda). Any such Addenda will be available through the City's Department of Public Works and Engineering Website (PWE Website) at www.NEWPPExpansion.houstontx.gov. Each Respondent is responsible for providing its contact email and other information by registering at the PWE Website. Notification of any Addenda issued by the City will be emailed to each registered Respondent, and it is the Respondent's responsibility to access such Addenda from the PWE Website. Each Respondent is solely responsible for obtaining all Addenda prior to submitting its SOQ. Respondents should check the PWE Website frequently. The City assumes no responsibility or liability whatsoever for the distribution of Addenda to Respondents.

1.7 Minority, Women, Small, and Disadvantaged Business Enterprises

Respondents shall comply with City Ordinance 2013-0428, Chapter 15, Article V, City of Houston Code of Ordinances, as amended, and City of Houston Office of Business Opportunity Minority, Women, and Small Business Enterprise (MWSBE) Procedures and applicable requirements of State of Texas. The Design-Builder will be required to comply with provisions of the City's Equal Opportunity Employment Ordinance, to achieve a minimum participation of at least 24% during Phase I services, and to make good faith efforts to achieve an participation goal for Phase II services in accordance with requirements of the State of Texas relative to possible funding through the Texas Water Development Board.

1.8 Bonding

Respondents are on notice that, as provided in the Enabling Law, the Design-Builder will be required to provide performance and payment bonds and/or other financial security acceptable to the City no later than the 10th day after the date of Design-Build Agreement execution. The City currently anticipates that the penal sums of such performance and payment bonds will each be in the amount of the probable cost for construction (i.e., construction budget), set forth in Section 2.2 of this RFQ. Surety companies issuing

such bonds must meet the applicable requirements indicated in Section 5.3.2 of this RFQ under “Bonding Capacity.”

Section 2 Project Overview

2.1 Project Scope

The existing Northeast Water Purification Plant (NEWPP) treats water from nearby Lake Houston using conventional treatment processes. As indicated in the Project Reference Documents, (specifically, *2012 Plant Shutdowns and Responses Report*), Lake Houston can be a challenging supply to treat. The facility is rated for 80 million gallons per day (mgd) of treated water production. Water from the NEWPP currently supplies customers for the City, North Harris County Regional Water Authority, and Central Harris County Regional Water Authority.

The NEWPP will be expanded by 320 mgd through the construction of a new plant (Plant 2) adjacent to the existing facilities. The 320 mgd expansion will be constructed within the property boundaries of the existing 152-acre treatment plant site (approximate acreage, not including raw water intake and pipeline). The existing facilities (Plant 1) must stay operational during construction of Plant 2, with the exception of short duration shutdowns, approved and coordinated in advance with the Public Utilities Division, which may be needed to make limited tie-ins between the two plants.

The expansion is being undertaken by the City in order to provide additional treated water capacity for the City and the four Authorities that will participate in the Project in accordance with the Water Supply Contract Second Supplement (Second Supplement(s)) signed with each Authority. The treated water capacity supplied by the Project will help the City and Authorities meet area water demands and the requirements of the Harris-Galveston Subsidence District and Fort Bend Subsidence District that restrict groundwater usage. The Project will be undertaken by the City in accordance with the terms of the Second Supplements. Copies of each Second Supplement are included in the Project Reference Documents. The Project will be administered and overseen by the City. Authority representatives will participate in the project planning, design, and construction in accordance with the applicable terms and conditions of the Second Supplements.

Key aspects of the Project include but are not limited to:

- Design and construction of a new raw water facility, which includes an intake, pumping, and conveyance to withdraw water from Lake Houston and deliver it to the treatment facilities located about 1.5 miles from Lake Houston.
- Design and construction of new treatment facilities sized to achieve 320 mgd of treated water capacity (i.e., the firm production that can be delivered from the High Service Pump Station(s) to the Project participants).
- Design and construction of electrical supply facilities including a new electrical substation.

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- Pilot testing will be conducted by the Project Advisor/Technical Consultant (PATC) in parallel with procurement of design-build services to investigate the performance of treatment processes over a range of raw water quality conditions. It is anticipated that the final configuration of processes may include conventional treatment (coagulation, flocculation, sedimentation, granular media filtration, and disinfection) in combination with possible enhancements such as higher unit loading rates, supplemental disinfection, biological filtration, or others. Pilot testing information will not be available until after selection of a Design-Builder. Additional information regarding the treatment processes being considered by the City will be provided in the RFP.
- Environmental permitting with the U.S. Corps of Engineers and other jurisdictional agencies will be ongoing during procurement of the design-build services. The permitting will be based on conceptual plans for the expansion of the NEWPP. The final Permitting responsibilities of the Design-Builder and City/PATC will be defined within the RFP.
- The existing facilities must remain operational during construction of the Project with the exception of limited and approved shutdowns, as will be defined further in the Design Criteria Package.
- The Project will be configured in modules so that an early capacity milestone can be placed into service prior to completion of the entire Project as noted in Section 2.3 below.

Key considerations for the Design-Builder include but are not limited to:

- The Design-Builder will be required to work with the City, PATC, and the Authorities during Phase I in developing the project scope, budget, and schedule including final determination of treatment processes, sizing of facilities, facility layout, and raw water system configuration. Authority involvement during Phase I will be in accordance with the conditions set forth in the Second Supplements.
- Key Design-Builder personnel will be required to work from a dedicated collaboration center with personnel from the City, PATC, and the Authorities during Phase I of the Project.
- The Design-Builder's responsibilities will include start-up, commissioning, and testing of the Project, including performance testing to demonstrate compliance with defined performance guarantees. These responsibilities will include compliance with all Texas Commission on Environmental Quality (TCEQ) requirements, including compliance with all applicable operator certification requirements.
- The Design-Builder will be responsible for training City employees in the operations and maintenance of the Project.
- The Design-Builder may have further performance testing, O&M advisory and warranty obligations for a defined period of no less than one year following commencement of City operations of the Project.

Additional Project information is provided in Attachment B (Project Reference Documents) of this RFQ. Detailed information concerning the scope of services for the Design-Builder will be provided in the RFP and the Design-Build Agreement.

2.2 Project Budget and Funding

The City's estimate of probable cost for design and construction of the Project (i.e., Design-Builder's cost to complete the scope of work) is currently \$1.167 billion. The estimated construction budget for purposes of this RFQ is currently \$1.05 billion, but may be further refined for the RFP.

The Project will be cost shared by the City and the Authorities in accordance with each participant's proportion of capacity reservation, as set forth in the applicable Second Supplement. The City and the Authorities will be responsible for providing the funds, which may include State funds, necessary to make payments to the Design-Builder under the Design-Build Agreement.

2.3 Project Schedule

The design, permitting, construction, and start-up/acceptance testing shall be completed to achieve acceptance (or conditional acceptance) and substantial completion of two capacity milestones as follows:

- 80 mgd of new treated water capacity by August 31, 2021.
- 240 mgd of additional treated water capacity by June 30, 2024.

2.4 Project Site

The NEWPP site consists of property that is adjacent to the west shore of Lake Houston upon which an existing intake and pump station is located. The NEWPP site includes a corridor that extends westward approximately 8,000 feet, and a larger parcel upon which the existing NEWPP facilities are located. The property consists of approximately 152 acres for the main treatment site of which a little less than half is occupied by the existing treatment facilities. The site is surrounded by a school and neighborhoods, and access into the site is restricted to a single road that enters in the northwest corner of the property. Current facilities are set back approximately 150 feet, and future facilities may be required to maintain this set back. Additional Project site information will be provided in the Design Criteria Package as part of the RFP.

Section 3 Design-Build Services

As noted in Section 1 of this RFQ, the Design-Builder will provide services in two distinct phases. These phases are described further below.

3.1 Phase I Services

Phase I services consist of the following two sequential components. The terms and conditions associated with the Phase I services will be defined in the Design-Build Agreement.

- Component 1 (Basis of Design) generally involves: Design-Builder's development of the Basis of Design and Project cost estimates based upon the Basis of Design. Component 1 may also include further development or refinement of the scope of work for Component 2. It is anticipated that the Basis of Design will be developed for two primary scenarios: (1) treatment and raw water conveyance facilities capable of providing 320 MGD of treated water; and (2) the same treatment facilities capable of providing 320 MGD of treated water with raw water conveyance facilities that are oversized to preserve the City's ability to maximize future withdrawals based on available water rights (i.e., over-sized facilities). The Design-Builder will be required to provide the cost estimates for both primary scenarios. The City will decide at the completion of Component 1 which of the two scenarios will be the basis for Component 2 services, subject to the terms of the Second Supplements.
- Component 2 (Design Development) generally involves: (a) Design-Builder's development of the Project design to a level of detail sufficient for execution of the GMP for Phase II, which could be in the range of 60-70% design completion; (b) Design-Builder's development of Project cost estimates at periodic intervals; (c) the Design-Builder's performance of other preconstruction services; and (d) the preparation, submission and negotiation of a GMP Amendment for Phase II. The Design-Build Agreement may provide for the phasing of elements of construction and the commencement of procurement and construction for a defined element prior to the finalization of a GMP Amendment and the commencement of Phase II, subject to the approval of the City and per the terms of the Second Supplements with the Authorities.

3.2 Phase II Services

Phase II services generally encompass the Design-Builder's completion of the Project's design (i.e., final design), and performance of construction, start-up, commissioning and testing services, as will be set forth in the Design-Build Agreement. Design-Builder's ability to proceed with Phase II services will be expressly conditioned upon the City and Design-Builder having agreed upon and entered into a GMP Amendment, which will be subject to the terms of the Second Supplements.

As part of the Phase II services, the Design-Builder will be required to perform operational testing at which time finished water will be introduced into the distribution system. Thus, the Respondent should have the capability as part of its Project Team to operate the facility in accordance with all TCEQ requirements, including compliance with all applicable operator certification requirements. Following substantial completion and acceptance or conditional acceptance, the Respondent should expect the City to operate the facility but that the Design-Builder will advise and provide guidance to the City and be responsible for additional performance validation testing prior to final completion for a period of time that will be established later.

Section 4 Procurement Process

4.1 Designation of Independent Engineer

Pursuant to Section 2269.355 of the Enabling Law, Mr. Daniel Menendez, P.E., Deputy Director for the Public Works and Engineering Department Engineering and Construction Division is hereby designated to act as its representative during the procurement process.

4.2 Communications with City

All communications from Respondents to the City shall be submitted by email (Respondent shall identify its e-mail in the subject line as: “NEWPP Design-Build Project – RFQ #DB15-01”), and be directed to the City at the following email address: NEWPPExpansion@houstontx.gov.

No oral communications from the City or any other individual are binding. The City disclaims the accuracy of any information derived from any source other than in writing from the City or provided on the City of Houston’s PWE Website, and the use of any such information is at the sole risk of the Respondent.

Neither a Respondent nor any person acting on Respondent’s behalf shall attempt to influence the outcome of this procurement by the offer, presentation or promise of gratuities, favors, or anything of value to any appointed or elected official, employee or representative of the City or the Authorities, their families, or staff members. All inquiries regarding the SOQ are to be directed in accordance with this Section. Upon issuance of this RFQ, aside from Respondent’s submittal of its SOQ, communications publicly made during the official pre-submittal meeting, and written requests for clarification in accordance with this Section during the period officially designated for such purpose by the City, neither Respondents nor persons acting on their behalf shall communicate with any appointed or elected official, employee or representative of the City or the Authorities, their families, or staff members, through written or oral means in an attempt to persuade or influence the outcome of the Shortlist or award or to obtain or deliver information intended to or which could reasonably result in an advantage to any Respondent. However, nothing in this paragraph shall prevent a Respondent from making public statements to the City Council convened for a regularly scheduled session after the official selection has been made and placed on the City Council agenda for action, or to a City Council committee convened to discuss a recommendation regarding the solicitation.

These communications restrictions begin with the issuance of this RFQ and end upon finalization and notification of the Shortlist. For Shortlisted Respondents, these restrictions will extend through the RFP process and will end upon award of the Design-Build Agreement. Any failure of compliance with the requirements of this Section shall be grounds for disqualifying the Respondent from consideration for Shortlist under this RFQ and/or potentially any future RFQs or RFPs with the City.

4.3 Public Records

Written SOQs, other submissions, correspondence, records, and negotiations conducted pursuant to this procurement, shall be open and public after award of the Design-Build Agreement, in compliance with

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Texas law governing public records and meetings. Respondents acknowledge that the information contained within SOQs submitted in response to this RFQ is part of the public domain as defined by the State of Texas Open Records Law. Each Respondent is required to identify specifically any information contained in its SOQ that it considers confidential and/or proprietary and which it believes to be exempt from disclosure, marking the specific information as “Confidential” and citing specifically the applicable exemption. No information shall be labeled “Confidential” unless exempted under the State of Texas Open Records Law.

In the event information marked “Confidential” is requested for release under applicable law, the City may release such information ten (10) business days after the date of notice to the Respondent of the request for release, unless Respondent has, within the ten-day period, secured a protective order, injunctive relief or other appropriate order from a court of competent jurisdiction, enjoining the release of the information. For the purposes of this paragraph, the day of the request for release shall not be counted in the time calculation. Respondent shall be notified of any request for such release on the same day of the request for public release or as soon thereafter as practical.

The City shall not, under any circumstances, be responsible for securing a protective order or other relief enjoining the release of information marked “Confidential,” nor shall the City be in any way financially responsible for any costs associated with securing such order or for any loss associated with the release of information marked confidential or otherwise.

4.4 Procurement Schedule

The current procurement schedule is presented below. All times are Central Standard Time (CST).

- | | |
|---|---------------------------|
| • Issue RFQ | March 20, 2015 |
| • Pre-submittal meeting (not mandatory) | April 8, 2015; 10:00 A.M. |
| • End RFQ inquiry period | April 10, 2015; 2:00 P.M. |
| • SOQ submittal deadline | April 21, 2015; 2:00 P.M. |

Additional details of the following milestones will be provided to Respondents by Addenda or otherwise, subsequent to issuance of RFQ:

- Shortlist published
- Issue RFP and Draft Design-Build Agreement for comment
- End comment period
- Proposals received
- Interviews
- Notification of selected Respondent

- Contract negotiations complete
- Design-Build Agreement Notice to Proceed

4.5 Pre-Submittal Meeting

The City will conduct a pre-submittal meeting for those interested in responding to the RFQ. The meeting will be held at the NEWPP (12121 Sam Houston Parkway, Humble, Texas 77396) on **April 8, 2015** starting at **10:00 A.M. CST** in the Auditorium located in the Administration Building. At this meeting, the City will provide a brief project overview and a tour of the project site. **Attendance at this meeting is not mandatory. However, anyone who wishes to attend the pre-submittal meeting must be pre-registered, and a legal form of picture identification must be shown at the NEWPP Security Gate upon arrival for the meeting.** To pre-register, send an email confirming meeting attendance to NEWPPExpansion@houston.tx.gov. Email shall include full name as it appears on legal form of picture identification. **Pre-registration must be received at last 48 hours prior to the start of the meeting.**

4.6 Interviews

The City will not hold interviews as part of the SOQ evaluation process.

4.7 Withdrawal of SOQs

Respondents may withdraw an SOQ by providing a written request, duly executed by an authorized representative, and delivered to City at any time prior to the SOQ Submittal Deadline. Individuals making the withdrawal will be required to provide evidence of serving as an authorized representative of the Respondent. After the Submittal Deadline, SOQs shall not be withdrawn or modified except to the extent agreed to by the City.

4.8 RFQ Clarifications

All questions about the meaning, intent or any other aspect of the RFQ shall be submitted in accordance with Section 4.2 of this RFQ. If a Respondent discovers any ambiguity, inconsistency, or error in the RFQ, the Respondent shall seek an interpretation in writing in accordance with Section 4.2.

Interpretations or clarifications considered necessary in response to such questions will be issued by Addenda to all Respondents. Questions received after the End RFQ Inquiry Period date listed in Section 4.4 of this RFQ may not be answered. Only answers issued by Addenda will be binding. Oral and other interpretations or clarifications will be without legal effect.

If any revisions to this RFQ become necessary (other than changes to the SOQ Submittal Deadline), the City will post written Addenda in accordance to Section 1.6 of this RFQ at least five (5) calendar days before the SOQ Submittal Deadline. The City may revise the SOQ Submittal Deadline at any time. **If an Addendum is issued, Respondent must acknowledge receipt of Addendum in the appropriate location of the Transmittal Letter Form, included in Attachment C (Submission Forms) of this RFQ.**

4.9 License Requirements

Lead Designer(s) and Lead Contractor(s) must be licensed to perform work in the State of Texas. Selected Respondent will be required to obtain and document State of Texas Professional Engineering license. It is the Respondent's responsibility to obtain and maintain any other licenses and certifications required to perform this work in the State of Texas.

4.10 Rights of the City

In connection with this procurement process, including the receipt and evaluation of SOQs and development of the Shortlist, the City reserves to itself (at its sole discretion) all rights available to it under applicable law and this RFQ, including, without limitation, the right to:

- Cancel, withdraw, postpone, or extend this RFQ, in whole or in part, at any time, without incurring any obligations or liabilities.
- Modify the procurement schedule.
- Issue a new RFQ or re-advertise and/or re-solicit the requirements set forth in this RFQ at any time.
- Reject any and all SOQs or proposals received at any time.
- Waive non-material deficiencies, informalities, and irregularities in an SOQ and accept and review a non-conforming SOQ. Failure of Respondent to designate each engineer and provide certifications in accordance with the requirements of Section 2269.359 of the Enabling Law may not be waived.
- Amend or modify this RFQ through issuance of an Addendum at any time prior to the SOQ Submittal Date.
- Suspend or terminate the procurement process or terminate evaluations of SOQs received.
- Permit clarifications to data submitted with any SOQ.
- Seek or obtain, from any source, data, or information that has the potential to improve the understanding and evaluation of the qualifications or experience of each Respondent.
- Seek clarification, verbally or in writing, from any Respondent to fully understand information provided in the SOQ and to help evaluate and rank the Respondents.
- Disqualify any Respondent that does not comply with the requirements of this RFQ.
- Reject an SOQ containing exceptions, additions, qualifications or conditions not called for in the RFQ or otherwise not acceptable to the City.

- Conduct an independent investigation of any information, including prior experience, identified in an SOQ by contacting project references, visiting referenced facilities, accessing public information, contacting independent parties, or any other means.
- Determine the number of Respondents to be included on the Shortlist.

The foregoing reserved rights are in addition to and will not serve to limit any other rights of the City set forth in this RFQ. Notwithstanding any reservation of rights, the City is under no obligation to exercise such rights.

4.11 Limitations on Project Teams

No more than two (2) Lead Contractor(s) shall be allowed per Project Team; and no more than two (2) Lead Designer(s) shall be allowed per Project Team. Respondents may propose Other Team Members in accordance with Section 5.3.2 of this RFQ.

The PATC, including its sub-consultants and subcontractors, are not eligible to assist or participate as Project Team members with any Respondent.

4.12 Engineer Certification

In accordance with Section 2269.359 of the Enabling Law, the Respondent shall “select and designate each engineer that is a member of its team” and “certify to the governmental entity that each selection or designation was based upon demonstrated competence and qualifications.” Thus, the Respondent shall identify each engineer that is a member of its Project Team, and provide the necessary certification, in accordance with Section 5.3 of this RFQ and the Transmittal Letter Form.

4.13 Prohibitions on Project Team Members and Affiliates Participating on Other Project Teams

The Lead Member(s), Lead Contractor(s), and Lead Designer(s) identified in the Respondent’s SOQ, as well as the Parents and Affiliates of such entities shall not be allowed to participate as a Lead Member, Lead Contractor, or Lead Designer on another Respondent’s Project Team. The term “Affiliate” for purposes of this provision means, with respect to any particular company or entity, a company or entity that: (a) owns and controls, directly or indirectly, such company or entity; (b) is owned and controlled, directly or indirectly, by such company or entity; or (c) is owned and controlled, directly or indirectly, by the same company or entity that owns and controls such company or entity. The term “Parent” for purposes of this provision means a company or entity that is an Affiliate by virtue of Item (a) in the preceding sentence. The term “control” for purposes of this provision means: (i) ownership, directly or indirectly, of fifty percent (50%) or more of the issued voting shares of a company or entity or ownership of equivalent rights to determine the decisions of such company or entity; or (ii) having the right to appoint at least fifty percent (50%) of the members of the board of directors or equivalent governing body of such company or entity.

Section 5 SOQ Submission Requirements

5.1 Submittal Place and Deadline

Ten (10) paper documents (one (1) original and nine (9) copies), each contained within a 3-ring binder, as well as one (1) electronic version of the SOQ on CD-ROM in PDF format, must be received no later than **April 21, 2015 at 2:00 p.m. CST**. The one (1) CD-ROM shall be submitted in accordance with the following instructions:

- The CD-ROM label clearly shows the Respondent's name and the RFQ number.
- Only one PDF file on the CD-ROM, with the entire submittal package (Section 5.3 below) included within that PDF file. The PDF file shall follow the below naming convention: "<DB15-01 >_<Firm Name>.pdf" (Example: "DB15-01_ABC Services.pdf").

SOQs must be submitted physically (via mail or in person) to the following address, to the attention of the following City Contact:

Attn: Mr. Jeffrey Benjamin, Project Director

**City of Houston
Department of Public Works and Engineering
611 Walker, 19th Floor
Houston, Texas 77002**

Receipt of an SOQ by any City office, receptionist, or personnel other than the City Contact listed above will not constitute "delivery" as required by this RFQ.

Each Respondent assumes full responsibility for timely delivery of its SOQ at the required location. Any SOQ received after the submittal deadline will be deemed nonresponsive and returned. The SOQ documents must be delivered in a sealed package or container, clearly labeled on the outside with the Respondent's name, address, contact person(s), and phone number, as well as "Statement of Qualifications, RFQ #DB15-01 - DB Services for NEWPP Expansion" on its face.

Oral, telephone, facsimile, telegraph, or email SOQs are invalid and will not receive consideration. No Respondent may submit more than one SOQ.

5.2 Submission Format

The SOQ must not exceed twenty-five (25) total pages (single-sided, 8½ x 11 inch pages with 1-inch or greater margins, in portrait orientation), excluding the cover letter, index or table of contents, front and back covers, title pages/separation tabs, and appendices. A maximum of four (4) of the total pages may be 11 x 17-inch tri-fold format, which shall each be counted as one (1) page of the 25 pages allowed. Eleven-point Arial font and 1.5 line spacing must be used in SOQ Parts 1 through 6.

5.3 Submission Content

The content requirements set forth in this RFQ represent the minimum content requirements for the SOQ. It is the Respondent's responsibility to include specific information in its SOQ to demonstrate its qualifications for the Project.

The SOQ must include the following information in the order listed:

- Cover Letter
- Part 1 – Respondent Profile
- Part 2 – Organizational Structure
- Part 3 – Past Experience
- Part 4 – Key Personnel
- Part 5 – Safety Record
- Part 6 – MWSBE and Local Business History
- Appendix A – Forms for Affirmation of Compliance
- Appendix B – Financial-Related Information
- Appendix C – Resumes
- Appendix D – Project Reference Forms
- Appendix E – Safety Record Documentation

5.3.1 Cover Letter and Transmittal Letter Form

Each Respondent shall include a Cover Letter in the front of the SOQ. In addition, each Respondent must complete the Transmittal Letter Form provided in Attachment C (Submission Forms) and include it in Appendix A (Forms for Affirmation of Compliance) of its SOQ. The Transmittal Letter Form must be signed by an authorized representative of the Respondent who is empowered to sign such material and to commit the Respondent to the obligations contained in the SOQ. If Respondent is a corporation or an LLC, an authorized officer shall sign his/her name and indicate his/her title beneath the full corporate name. If Respondent is a consortium, partnership or any other form of joint venture, an authorized representative for each member of the joint venture shall sign the Transmittal Letter Form.

5.3.2 Part 1 – Respondent Profile

The Respondent profile must include a general description of the Lead Member(s), Lead Designer(s), and Lead Contractor(s), indicating their lines of business and service offerings, locations of home and other offices, number of employees (professional and non-professional), years in business, and evidence of required licenses.

City of Houston, Texas

In addition to the general description required above, the Respondent must include the following information:

- **Legal Structure**

Respondent shall describe how it is organized as a legal entity. This section of the SOQ shall include:

- Respondent's full legal name, tax identification number, where and when entity was organized, and main office address of the entity that proposes to enter into the Design-Build Agreement with the City.
- Confirmation of how Respondent is or will be legally structured (i.e., as a corporation, limited liability company (LLC), joint venture, or other form of organization). If the Respondent is a consortium, partnership or any other form of joint venture, provide a copy of the executed agreement, or proposed agreement, including percentages of ownership, roles of various parties, and execution date. Identify when the Respondent and each Lead Member were organized and, if a corporation, where incorporated.
- Identification of Lead Member(s) and ownership or proposed ownership interest in the Respondent.
- The name of Respondent's authorized representative, address, telephone number, and e-mail address. Respondent must identify a sole point of contact.
- Copies of applicable business licenses or registration certificates necessary for the Respondent and/or its Lead Contractor(s) and Lead Designer(s) to operate in Texas.

If Respondent is organized as a consortium, joint venture, partnership or LLC, the following information shall be provided in Appendix A (Forms for Affirmation of Compliance) of its SOQ:

- A summary of the key terms of the executed agreement, including percentages of ownership, roles of various parties, and execution date.
- If Respondent's business entity is a consortium, partnership or any other form of joint venture, a statement signed by an authorized representative of each Lead Member acknowledging that the Lead Member will be required to provide evidence of joint and several liability to the City for all of the Respondent's obligations under the Design-Build Agreement.
- If Respondent's business entity is a special purpose LLC formed or to be formed for the Project, a statement signed by an authorized representative of each Lead Member acknowledging that such Lead Member will be required to provide to the City an irrevocable absolute and unconditional guarantee of all of Respondent's obligations under the Design-Build Agreement.

- A notarized Power of Attorney executed by each Lead Member authorizing Respondent's representative to sign for and on behalf of Respondent and its Lead Members.
 - If Respondent's business entity has already been legally constituted, a description of its legal structure and supporting organization/formation documents. A copy of the executed and binding joint venture agreement, LLC operating agreement, or partnership agreement must be provided.
 - If Respondent's business entity has not yet been legally formed, a description of the legal structure proposed for the entity (i.e. joint venture, general partnership, or LLC) and draft or final copies of the underlying documents, including: significant terms of the proposed joint venture, partnership or LLC, including the rules relative to the administration of the proposed entity and to dealing with conflict (including but not limited to deadlock) situations; the manner in which the proposed joint venture, partnership, or LLC will operate administratively and financially; and the teaming agreement or comparable document setting forth the agreement of the Lead Members to form the proposed entity.
- **Other Team Members**

Respondent shall identify Other Team Members in Part I and include in Appendix A (Forms for Affirmation of Compliance) a one-page letter from each proposed entity/individual (Other Team Member) that Respondent proposes as part of Respondent's Project Team, indicating such individual or entity's desire to be included on the Project Team and indicating a general statement of the scope of services that such Other Team Member will perform if the Respondent is selected to serve as the Design-Builder.

In proposing an Other Team Member, Respondent commits to the City that such entities/individuals will remain on the Project Team in accordance with the requirements of Section 7.6 of this RFQ and will adhere to the communication policy requirements of Section 4.2 of this RFQ.

Respondent's submission of an individual or entity as an Other Team Member is not dispositive as to whether that individual or entity will be allowed to perform construction work on the Project. The determination of how construction subcontractors will be procured will be established in the Design-Build Agreement. Respondents should assume that the construction work will be subject to a competitive bidding or competitive proposal process under the Design-Build Agreement.
 - **Compliance Forms**

In addition to the Transmittal Letter Form described in Section 5.3.1 of this RFQ, Respondent shall complete the following compliance forms and include in Appendix A (Forms for Affirmation of Compliance):

City of Houston, Texas

- A copy of the Respondent’s response to questionnaire pertaining to “Conflict of Interest” submitted to the City Secretary. As referenced in Section 7.1 of this RFQ, Local Government Code Chapter 176 requires firms seeking to do business with the City to file a Conflict of Interest Questionnaire with the City Secretary. The Conflict of Interest Questionnaire is available for downloading on the Texas Ethics Commission’s website at <http://www.ethics.state.tx.us/forms/CIQ.pdf> . It is the Respondent’s responsibility to submit the latest version of the Conflict of Interest Questionnaire form as promulgated by the Texas Ethics Commission. Write “N/A” in Section 1 if nobody in the company has a business relationship with the City, as defined in Section 176.001 (1-a) in the Local Government Code.
 - A copy of the Respondent’s current on-file Public Works and Engineering’s Standard Form for Engineering and Related Services (“PWE100”). Respondents are still responsible to formally submit updated PWE100s according to the instructions at the following location: <http://www.publicworks.houstontx.gov/notices/pwe-100.html>.
 - A fully completed City Pay or Play Acknowledgement (POP-1) form, which can be found at the following location: <http://www.houstontx.gov/obo/popforms.html>. The City of Houston’s Pay or Play (POP) Program as authorized by Ordinance 2007-534 and Executive Order 1-7 will be included as part of the Design-Build Agreement.
 - A fully completed Affidavit of Ownership or Control form, which can be found at the following location: <http://www.houstontx.gov/generalservices/affidavitofownershiporcontrol.pdf>.
 - A fully completed Contractor Submission List form (City of Houston Fair Campaign Ordinance), which can be found at the following location: <http://www.houstontx.gov/housing/pdf/fair-forma.pdf>.
 - Fully completed Drug Detection and Deterrence Procedure forms (Attachment A, B, C, and D), which can be found at the following location: https://purchasing.houstontx.gov/forms/Drug_Forms.doc.
- **Bonding Capacity**

Respondent shall provide a notarized letter(s) from its surety (or sureties) in Appendix A (Forms and Affirmation of Compliance) verifying the Respondent has a minimum bonding capacity of **\$1.05 billion** available for this Project for performance and payment bonds. The Respondent’s surety (or sureties) must have a rating of A- or better in the latest revision of the A.M. Best Company’s Insurance Report, must be authorized by law to do business in the State of Texas, and must be listed in the U.S. Department of Treasury Circular 570.

- **Minimum Insurance Requirements**

In Appendix A (Forms and Affirmation of Compliance), Respondent shall provide a letter or Certificate of Insurance from its insurance provider stating its ability to acquire and provide the following minimum limits for the required insurance:

- Statutory workers' compensation insurance: Coverage is to apply for all employees for statutory limits in compliance with the applicable state and federal laws.
- Employer's liability insurance (including Appropriate Federal Acts): \$1 million each accident, \$1 million each employee, and \$1 million policy limit for disease.
- Commercial general liability insurance: \$5 million per occurrence; \$10 million general aggregate specific to this project/location. Products and completed operations aggregate shall be \$2 million. Commercial General Liability insurance shall be written on an occurrence form and shall include bodily injury and property damage liability for premises, operations, independent contractors, products and completed operations, contractual liability, broad form property damage and property damage resulting from explosion, collapse or underground (x, c, u) exposures, personal injury and advertising injury. Damage to rented premises shall be included at a minimum of \$100,000.
- Commercial automobile liability insurance: \$5 million each accident for bodily injury and property damage liability. Such insurance shall cover liability arising out of any auto (including owned, hired, and non-owned autos). The policy shall be endorsed to provide contractual liability coverage.
- Professional liability (errors and omissions): \$25 million each occurrence and in the aggregate.
- Umbrella liability: \$50 million each occurrence and in aggregate.
- Pollution liability: \$1 million per loss and \$2 million annual aggregate.
- Builder's Risk (All Risk) insurance: Limits equal to the completed value of the Project.

The required insurance must be obtained and maintained from insurance companies that have an A.M. Best Rating of no less than A: VII, unless otherwise acceptable to the City, and are duly licensed or authorized in Texas. The City and the Authorities shall be named as additional insureds on all the policies recited above, other than the professional liability policy, and shall be entitled to the fullest coverage permitting by law.

The City reserves the right to implement an Owner-Controlled Insurance Policy (OCIP), Contractor-Controlled Insurance Policy (CCIP), or other similar form of insurance mechanism. Further information will be provided with the RFP.

- **Lead Member(s) and Lead Contractor(s) Financial Position.** Provide in Appendix B (Financial Statements) for each Lead Member and Lead Contractor, copies of most recent three (3) years of audited financial statements, prepared in accordance with Generally Accepted Accounting Principles (GAAP), and all relevant notes to such statements. If such entity is required to file with the Securities and Exchange Commission, provide the three (3) most recently filed Form 10-Ks, and supporting documents, and Form 10-Qs since the last Form 10-K was filed. If either the Form 10-K or 10-Q reports reference other reports that describe such entities financial condition, copies of such reports shall also be provided

If not required to make periodic filings with the SEC, Respondent shall also provide in Appendix B: (a) copies of the latest quarterly financial statements for year to date; and (b) a statement regarding any material changes in financial condition, including without limitation changes in the mode of conducting business, bankruptcy proceedings, and mergers or acquisitions for the past three years, as well as any disclosure of any potential mergers or acquisitions. If any of the Lead Member(s) or Lead Contractor(s) have been in existence for less than three (3) years, the preceding information shall be provided for the period of existence.

If the Lead Member (s) and Lead Contractor(s) has short-term or long- term obligations rated by Moody's Investor's Service, Standard & Poor's Corporation, Fitch IBCA, Kroll Rating Agency, or Duff & Phelps, or any other similar entity, such ratings and related reports shall be provided in Appendix B. Lead Member(s) and Lead Contractor(s) shall also provide credit reports from Dun & Bradstreet or similar entity for the past three (3) fiscal years in Appendix B.

Lead Member(s) and Lead Contractor(s) shall specifically disclose in Appendix B any outstanding or threatened litigation or regulatory action or investigation that could adversely impact such entity's financial condition or ability to carry out and complete the obligations of the Design-Builder under the Design-Build Agreement.

The aggregate net worth of the Lead Member(s) shall be no less than **\$100 million**.

Without limiting any of the foregoing submittal requirements, Respondents shall provide the Financial Data Form included in Attachment C (Submission Forms) of this SOQ for each Lead Member and Lead Contractor. The completed Form shall be included in Appendix B (Forms for Affirmation of Compliance).

Respondents shall provide the Banking Credit Reference Form included in Attachment C (Submission Forms), from each respective primary banking institution for each Lead Member and Lead Contractor. The completed form shall be included in SOQ Appendix B (Forms for Affirmation of Compliance).

The Respondent must notify the City of any material adverse changes in financial conditions of the Lead Member(s) and/or Lead Contractor(s) subsequent to submission of the SOQ. The City shall have the right to remove any Shortlisted Respondent from the Shortlist on the basis of such material adverse change.

- **License Requirements.** Respondents must submit a copy of current valid State of Texas Professional Engineer license(s) for the Lead Designer(s) in Appendix A. Failure to provide copies of such licenses may result in the Respondent being deemed non-responsive.

5.3.3 Part 2 – Organizational Structure

Provide sufficient information to enable the City to understand and evaluate the Respondent's Project Team organizational structure. Failure to do so may result in disqualification.

- Provide an organizational chart showing Respondent's proposed organizational and management structure that clearly identifies which Respondent's Project Team members are responsible for the major functions to be performed. The organizational chart may be 8½" x 11" or 11" x 17" paper, folded to 8½" x 11" inch size.
- Identify all Other Team Members and provide a brief summary for each Other Team Member containing sufficient information to enable the City to understand such member's proposed role for the Project.
- Describe the roles, responsibilities, functional arrangements, and reporting relationships between and among the members of Respondent's Project Team that will be used to manage, design, and construct the Project.
- Describe the scope of the services and responsibilities to be performed by Respondent's Project Team members.

Describe the rationale for selecting its organizational structure, reasons why this is advantageous to the City, and how the team's structure is best suited to achieve project success.

5.3.4 Part 3 – Past Experience

The City is interested in understanding the past performance and experience of the members of the Respondent's Project Team, including their individual and collective past performance and experience on previous or current projects of similar size, complexity, challenges, and functionality as the Project. Part 3 of the SOQ should contain sufficient information to allow the City to make this assessment. A one page summary table should be provided to cross-reference the Project Team members with participation in the reference projects that will be included in Appendix D as described below.

Respondents should also provide sufficient information to enable the City to understand the relevant past performance and experience of each Other Team Member.

City of Houston, Texas

In addition to the above, completed Project Reference Forms (provided in RFQ Attachment C – Submission Forms) shall be submitted in Appendix D of the Respondent’s SOQ (Project Reference Forms). The Respondent shall submit forms for a minimum of two (2) reference projects each for the Lead Designer(s) and Lead Contractor(s) to demonstrate experience relevant to the Project; or a minimum of four (4) reference projects for a single Lead Designer and a single Lead Contractor. Representative projects shall be projects of similar size (treated water capacity of 80 mgd or larger), complexity, challenges, and functionality as the Project. A maximum of a total of twelve (12) representative projects may be provided.

City staff or advisors reserve the right to contact references and obtain information on representative projects to confirm the information provided in the Project Reference Form(s).

International project reference and contact information will be considered only to the extent the Respondent is able to provide information in its SOQ that adequately describes how the project reference is relevant to projects completed in the United States (e.g., similar regulatory requirements; similar materials and equipment procurement requirements; etc.).

The Respondent’s score on this section may be negatively impacted by the inability to contact and verify references.

5.3.5 Part 4 – Key Personnel

Identify the Respondent’s Key Personnel (and their firm affiliations), as defined in Attachment A (Defined Terms). Provide the names and phone numbers of all such members.

- The City expects Key Personnel to remain on the Project Team for the duration of the Project. The City reserves the right to disqualify or reject as non-responsive the Proposal of a Shortlisted Respondent that changes Key Personnel from that indicated in the SOQ. Any change in the firms or Key Personnel included in the SOQ requires written approval from the Project Director.
- Provide resumes for all Key Personnel in SOQ Appendix C (Resumes). Resumes must be limited to two (2), single-sided pages per individual and shall include a narrative that describes each individual’s:
 - Total years of experience in the design and/or construction of water/wastewater public works projects.
 - Academic and professional qualifications.
 - Professional registration (as applicable) and certifications such as Design-Build Institute of America’s “Designated Design-Build Professional.”
 - Experience as it relates to the Project and to the individual’s specified role on the Project.

5.3.6 Part 5 – Safety Record

The SOQ shall include information concerning the Respondent's safety record, including safety statistics or records indicating categories of accidents and their incidence or frequency rates for the past three (3) years. Summary safety statistics or records indicating categories of accidents and their incidence or frequency rates for the Respondent (if applicable) and its Lead Constructor(s) shall be included. The following indicators of safety performance shall be provided:

- The most recent three years of Workers' Compensation Experience Modification Ratio (EMR) and/or Experience Modification Factor (EMF). The EMR/EMF is the workers' compensation insurance premium adjustment factor that has been calculated by the National Council on Compensation Insurance, Inc., or other similar advisory organization or rating bureau. The EMR/EMF is calculated by comparing a company's actual workers' compensation loss data against average loss data for other employers in the same state who share the same industry classification code.
- The total recordable injuries and illnesses incidence rate for the past three (3) years. The incidence rate is calculated by multiplying the total number of recordable injuries and illnesses for the particular year by 200,000 and then dividing the product by the man-hours worked for that year.
- The days away from work injury incidence rate for the past three (3) years. A "days away from work injury" is an injury that prevents an employee from returning to his or her next regularly scheduled shift. The incidence rate is calculated by multiplying the number of days away from work injuries for the particular year by 200,000 and then dividing the product by the man-hours worked for that year.
- The completed Occupational Safety and Health Administration (OSHA) Form 300A, Summary of Work-Related Injuries and Illnesses, for the past three (3) years.

Respondent shall provide documentation in Appendix E (Safety Record Documentation) of its SOQ.

5.3.7 Part 6 – MWSDBE and Local Business History

The Respondent's SOQ shall include information concerning the experience of Respondent's Lead Contractor(s) and Lead Designer(s) successfully using Minority, Women, Small, and Disadvantaged Business Enterprise firms and meeting established goals with meaningful, substantive participation in similar work elements as required in the Project. Include the goals for specific projects completed and the actual results for achieving such goals. Also, provide any local business goals for specific projects completed and the actual results of achieving such goals. Goals for the Project are discussed in Section 1.7.

Section 6 SOQ Evaluation and Shortlist Selection

6.1 Delegation of Authority

By Ordinance 2015-0139 and pursuant to Section 2269.053 of the Texas Government Code, the City has delegated its authority under the Enabling Law to the Director of the Department of Public Works & Engineering and the City Attorney with respect to all actions required by the Enabling Law except the approval of the Design-Build Agreement and issuance of the notice to proceed.

By Ordinance 2015-0139 and pursuant to Section 2269.053 of the Texas Government Code and the Second Supplements, the City has further delegated certain of its authority under the Enabling Law to the Authorities and the four individuals appointed as Selection Reviewers, one of whom will be selected by each Authority, to assist in the review of the SOQs and Proposals and to vote on the approval of any resulting contract. This delegation to the Authorities is limited to the appointment of the Selection Reviewers and to employment of the Consensus Process for voting on any resulting contracts, as provided in the Second Supplements.

6.2 General Evaluation Procedure

The City will appoint a committee (Evaluation Committee) to evaluate submitted SOQs. Copies of SOQs will be distributed to the Evaluation Committee members for scoring purposes. The Evaluation Committee will evaluate each responsive SOQ, with such evaluation being based upon the factors and weights set forth in this Section 6. The responsive SOQs will be reviewed and evaluated by the Evaluation Committee (with assistance provided by outside advisors if desired by City) according to the requirements and criteria outlined in this Section 6.

During the SOQ evaluation process, written questions or requests for clarifications may be submitted to one or more Respondents regarding its SOQ or related matters. Failure to respond in a timely manner to any such questions or requests may be grounds for elimination of the Respondent from further consideration. Respondent is responsible for the accuracy of its SOQ. Discrepancies between words and figures will be resolved in favor of the words.

In general, the selection process will consist of the following:

- City will open the SOQs.
- City will review the SOQs (with assistance provided by outside advisors if desired by City) to determine if Responsiveness Requirements are met.
- City staff or outside advisors will attempt to contact references and verify information relating to representative projects.
- For those SOQs that meet the Responsiveness Requirements, the SOQ criteria will be scored (100 total points possible) by the Evaluation Committee. Based upon the SOQ scores, the SOQs

and corresponding Respondents will be ranked and a recommended Shortlist of no more than four (4) Respondents.

- The Selection Reviewers for the Authorities will receive and review the SOQs of qualified firms and will score the SOQs using the same SOQ criteria established in this RFQ. Each Selection Reviewer will provide the Evaluation Committee with a recommended short list of qualified firms for consideration. After the Respondents have been shortlisted by the City and Authorities, the City will approve the Shortlist. In order for the City to consider including a Respondent on the Shortlist, the Respondent must be on the recommended Shortlist of at least two (2) of four (4) Selection Reviewers.
- Approved Shortlisted Respondents will be issued the RFP and will be invited to prepare Proposals in response to the RFP.
- The Shortlist will be posted electronically on www.NEWPPExpansion.houstontx.gov for viewing by all responding Respondents. SOQs received from Respondents will not be returned to the Respondents.

6.3 Responsiveness

Each SOQ will be reviewed to determine whether it meets the Responsiveness Requirements outlined in this subsection. Failure to comply with the requirements of this RFQ may result in disqualification of a Respondent or an SOQ being rejected as nonresponsive. At its sole discretion, the Evaluation Committee may request clarification or additional information to address any questions that may arise regarding a Respondent meeting the Responsiveness Requirements. Any SOQ that does not satisfy the Responsiveness Requirements may be deemed non-responsive. The Responsiveness Requirements include the following:

- **Compliance with RFQ.** Respondent must comply with all terms and conditions of this RFQ, including, without limitation, the requirement to provide a fully completed and executed compliance and submittal forms included in Attachment C (Submission Forms) with all supporting documentation.
- **Bonding Capacity.** Respondent must provide notarized letter(s) from its surety (or sureties) verifying the Respondent has a minimum bonding capacity of **\$1.05 billion** available for this project as required in Section 5 of this RFQ.
- **Other Team Members.** Respondents must provide a copy of a one-page letter from each Other Team Member proposed in the Respondent's SOQ indicating that firm's desire to be included and indicating a general statement of the scope of services that the Other Team Member will perform if the Respondent is selected.
- **Net Worth.** The Respondent's Lead Member(s) must have a minimum aggregate net worth of **\$100 million**.

- **Financial Condition.** The information submitted under Section 5.3.2 of this RFQ (Part 1 – Respondent Profile) under the heading “Lead Member(s) and Lead Contractor(s) Financial Position” must demonstrate to the City that: (a) the Respondent’s Lead Member(s) and Lead Contractor(s) are in stable financial condition; and (b) Respondent has sufficient financial resources and capacity to carry out and complete all of the obligations required of the Design-Builder under the Design-Build Agreement.
- **Insurance.** The Respondent must have the ability to obtain insurance meeting the minimum requirements presented in Section 5 of this RFQ.
- **Licensing and Registration.** The Lead Contractor(s) and Lead Designer(s) are responsible for obtaining the necessary license(s) in Texas for the type of work to be performed.

6.4 Comparative Evaluation Criteria

The Evaluation Criteria are intended to allow the City to evaluate specific aspects of a Respondent’s experience, technical competence, and capability to perform. The Evaluation Criteria are weighted in accordance with the table set forth below. Sub-factors for the Evaluation Criteria are listed in descending order of importance. The scoring of the Evaluation Criteria and each sub- factor (if applicable) will be based upon the rating set forth in the EVALUATION CRITERIA SCORING TABLE below.

1. **Organizational Structure** – *Demonstration of an organizational structure that is appropriate for the design, construction, startup, commissioning, and performance testing of the Project.*

Respondents will be evaluated based on Respondent’s Project Team structure, including its legal structure and organization, Project Team roles and responsibilities, Project Team members’ functional relationships, and capability to perform assigned Project responsibilities, and Respondent’s rationale for selecting the team structure. There are no sub-factors for this Evaluation Criterion.

2. **Past Experience** – *Demonstrated experience that the Respondent’s Project Team has the ability to successfully complete the design, construction, startup, commissioning, and performance testing of the Project.*

Respondents will be evaluated based on the experience of the members of Respondent’s Project Team, including their individual and collective performance history and experience on previous or current projects of similar complexity, challenges, and functionality as the Project. Sub-factors that will be used to score this category are as follows:

- a. The design, construction, startup, commissioning, performance testing, and O&M advisory experience of Respondent’s Project Team members
- b. The design, construction, startup, commissioning, performance testing, and O&M advisory experience of Respondent’s Project Team members when working together.
- c. The Respondent Project Team members’ experience completing design-build or other collaborative delivery projects, including experience with negotiated, open-book contracting.

- d. The experience of the Lead Contractor(s) in self-performing specific elements of construction, with particular consideration for concrete, yard piping, and mechanical piping/equipment installation. **Respondent shall be aware that any self-performance of construction by Design-Builder will require City approval under the Design-Build Agreement. Respondents should assume that the construction work will be subject to a competitive bidding or competitive proposal process under the Design-Build Agreement.**
- e. The Respondent's Project Team members' experience working locally in the Houston area and the State of Texas.
- f. The number of water/wastewater design-build contracts to which the Respondent are currently a party, and the gross annual amount of each contract, contract start and finish dates, and size and type of facility.

3. **Qualifications of Key Personnel** – *Demonstrated experience that Respondent's Key Personnel have the ability to fulfill their roles and responsibilities and will enable Respondent to successfully complete the design, construction, startup, commissioning, and testing of the Project.*

Respondents will be evaluated based on the qualifications, experience, and past performance of Key Personnel, with the evaluation considering, among other things, his/her experience working in similar roles to those proposed on this Project based on projects of similar complexity, challenges, and functionality as this Project. The sub-factors that will be used to score this category are as follows:

- a. Qualifications, technical competence, and experience of the proposed Project Manager.
- b. Qualifications, technical competence, and experience of the proposed Design Manager(s).
- c. Qualifications, technical competence, and experience of the proposed Preconstruction Manager(s).
- d. Qualifications, technical competence, and experience of the proposed Construction Manager(s).
- e. Qualifications, technical competence, and experience of the proposed Project Executive.
- f. Qualifications, technical competence, and experience of up to five (5) additional positions that Respondent wishes to identify as Key Personnel.

4. **Safety** – *Demonstrated capability to deliver the Project safely.*

Respondents will be evaluated based on the past safety performance of the Lead Contractor(s). There are no sub-factors for this Evaluation Criterion.

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5. **MWSDBE and Local Business Use Goals** – *Demonstrated capability of successfully using MWSDBE firms, meeting MWSDBE goals, and for using Local Businesses and meeting Local Business goals.*

Respondents will be evaluated based upon the experience of Respondent's Lead Constructor(s) and Lead Designer(s) successfully using MWSBE firms and meeting established MWSBE goals, and for using Local Businesses and meeting Local Business goals. There are no sub-factors for this Evaluation Criterion.

The City will evaluate and rank the responsive SOQs by scoring the comparative evaluation criteria set forth below to generate a Shortlist. The total number of points that will be used in evaluating all of the factors for this SOQ is 100, allocated as shown in the following table.

Criterion	Maximum Possible Points
Organization Structure	10
Past Experience	45
Key Personnel	25
Safety	10
MWSDBE and Local Business History	10
TOTAL	100

Section 7 Miscellaneous

7.1 Conflict of Interest

Chapter 176 of the Texas Local Government Code and Chapter 1 of the City of Houston Procurement Manual require vendors to disclose any “conflicts” they may have with elected officials, such as the Mayor and Council Members. The law applies to all vendors, meaning any person who seeks to enter into a contract with the City, and agents of the vendor. The law does not impose a prohibition against doing business with the City; instead, it requires disclosure of relationships the vendor may have with elected officials, as identified above. A vendor must disclose if the vendor has an employment or business relationship with an elected official that results in the elected official receiving more than \$2,500 in the preceding twelve months or has given an official or an official's family member one or more gifts totaling more than \$250 in the preceding twelve months. Consistent with the above, all Respondents must file the Conflict Disclosure questionnaire set forth in Section 5.3.2 of this RFQ.

7.2 City Contractor's Pay or Play Program

The Design Build Agreement will incorporate the requirements and terms of the City of Houston Pay or Play Program, as set out in Executive Order 1-7. This provision requires certain contractors to offer to certain employees a minimal level of health benefits or to contribute a designated amount to be used to offset the costs of providing health care to uninsured people in the Houston/Harris County area. All Respondents must complete the "Pay or Play" Acknowledgement Form & Certification of Agreement to Comply with Pay or Play Program, as indicated in Section 5.3.2 of this RFQ.

7.3 City Contractor Ownership Disclosure Ordinance

City Council requires knowledge of the identities of the owners of entities seeking to contract with the City in order to review their indebtedness to the City or any governmental entity prior to entering into contracts. Therefore, all Respondents must comply with Houston Code of Ordinances Chapter 15, as amended (Sections 15-122 through 15-126) relating to the disclosure of owners of entities bidding on, proposing for or receiving City contracts and complete the "Affidavit of Ownership or Control", as indicated in Section 5.3.2 of this RFQ.

7.4 City of Houston Fair Campaign Ordinance

The City of Houston Fair Campaign Ordinance, Houston Code of Ordinances Chapter 18, makes it unlawful for a Contractor to offer any contribution to a candidate for City elective office. For purposes of this ordinance, a contract is defined as any contract for goods or services having a value in excess of \$30,000 or more, regardless of the way by which it was solicited or awarded. The Respondent must submit the Fair Campaign Disclosure form, as indicated in Section 5.3.2 of this RFQ.

7.5 Drug Detection and Deterrence Procedures for Contractors

It is the policy of the City to achieve a drug-free workforce and to provide a workplace that is free from the use of illegal drugs and alcohol. It is also the policy of the City that the manufacture, distribution, dispensation, possession, sale, or use of illegal drugs or alcohol by Contractors while on City premises is prohibited. The City's drug policy requirements can be found at the following location:

<http://edocs.publicworks.houstontx.gov/engineering-and-construction/forms/drug-policy-guidance.html>.

Pursuant to the Mayor's Executive Order 1-31, as a condition to the award of any contract for labor or services, a successful Respondent must certify to its compliance with this policy, as indicated in Section 5.3.2 of this RFQ.

7.6 Obligation to Keep Project Team Intact

Respondents are advised that the entirety of the Project Team shall remain intact for the duration of the procurement process and execution of the Project. If extraordinary circumstances require a change during the procurement process, it must be submitted in accordance with Section 4.2 of this RFQ. The City, in its sole discretion, will determine whether to authorize a change, recognizing that certain circumstances (such as termination of employment) may occur that are beyond the Respondent's control. Unauthorized changes to the Project Team at any time during the procurement process may result in elimination of the

Respondent from further consideration.

7.7 Equal Opportunity/Affirmative Action

The City is an equal opportunity/affirmative action employer. Pursuant to Executive Order 11246 as amended, Respondents are advised that under the provisions of government contracting, Contractors and Subcontractors are obliged to take affirmative action to provide equal employment opportunity without regard to race, creed, color, national origin, age, or sex.

7.8 Respondent Affirmation

By submitting an SOQ, the Respondent affirms that the SOQ is genuine and not made in the interest of or on behalf of any undisclosed person, firm, or corporation, and is not submitted in conformity with any agreement or rules of any group, association, organization, or corporation; the Respondent has not directly or indirectly induced or solicited any other person to submit a false or sham proposal; the Respondent has not solicited or induced any person, firm, or corporation to refrain from submitting a proposal; and the Respondent has not sought by collusion to obtain any advantage over other persons or over the City.

7.9 Respondent SOQ Development Costs

Neither the City nor its representative(s) shall be liable for any costs or expenses incurred by the Respondents in connection with preparation of an SOQ in response to this RFQ or any other activities included as part of the procurement process. Each Respondent that enters into the procurement process shall prepare the required materials and submittals at its own expense and with the express understanding that neither the Respondent, nor any Respondent team member, can make any claim whatsoever for reimbursement from the City or from any of its employees, representatives, advisors or consultants for the costs and expenses associated with the process, including, without limitation, the costs of preparation of materials and submittals, loss of anticipated profits, loss of opportunity or any other loss, cost or expense.

7.10 Applicable Laws and Courts

This RFQ, the subsequent RFP, and any resulting agreements shall be governed in all respects by the laws of the State of Texas and any litigation with respect thereto shall be brought only in the courts of Harris County, Texas.

7.11 Protests

A protest shall be handled according to the City of Houston Procurement Manual. A protest shall include the following:

1. The name, address, e-mail, and telephone number of the protester;
2. The signature of the protester or its representative who has the delegated authority to legally bind the person protesting;

City of Houston, Texas

3. Identification of the solicitation description and the solicitation or contract number;
4. A detailed written statement of the legal and factual grounds of the protest, including copies of relevant documents, etc.; and,
5. The desired form of relief or outcome.

Attachment A

Definition of Terms

The definitions of some of the capitalized terms used in this RFQ are presented below:

Addendum or Addenda – Documentation provided by the City to Respondents to modify, add to, or clarify the RFQ.

Authorities - The North Harris County Regional Water Authority, the Central Harris County Regional Water Authority, the West Harris County Regional Water Authority, and the North Fort Bend Water Authority, each a party to a Second Supplement with the City.

City – The City of Houston, TX.

City Contact – Mr. Jeffrey Benjamin, Project Directory, Department of Public Works and Engineering.

Design-Build Agreement – The entire agreement between the City and the Design-Builder, including all amendments, which will establish the terms and conditions for the performance of the design-build services for the Project.

Design-Builder – The entity that will enter into the Design-Build Agreement and any amendments to such agreement, with the City. In accordance with the Enabling Law, the Design-Builder shall also be defined as the “Design-build firm” that “means a partnership, corporation, or other legal entity or team that includes an engineer and a construction contractor qualified to engage in civil works construction in Texas.”

Design Criteria Package – A set of documents that: (A) provides sufficient information to convey the intent, goals, criteria, and objectives of the civil works project; and (B) permits a design-build firm to: (i) assess the scope of work and the risk involved; and (ii) submit a proposal on the project and which will be prepared in accordance with Section 2269.359 of the Enabling Law and provided to the Shortlisted Respondents.

Enabling Law - Chapter 2269, Subchapter H, Subtitle F, Title 10 of the Texas Government Code.

Evaluation Criteria – The criteria for the comparative evaluation of responsive SOQs set forth in Section 6 of this SOQ.

GMP Amendment – An amendment to the Design-Build Agreement that will establish the guaranteed maximum price (GMP) for the performance of all design-build services and other terms and conditions dependent upon detailed design development.

Key Personnel – For the purposes of this RFQ, the following individuals identified in the SOQ: Project Executive, Project Manager, Construction Manager(s), Design Manager(s), and any other individual specifically identified in the SOQ as Key Personnel.

Lead Contractor(s) – The member(s) of the Project Team having primary responsibility for construction

City of Houston, Texas

services for the Project. No more than two (2) Lead Contractor(s) per Project Team.

Lead Designer(s) – The member(s) of the Project Team having primary responsibility for design services for the Project. No more than two (2) Lead Designer(s) per Project Team.

Lead Member(s) – A member of the Project Team that is: (a) if Respondent is a consortium, partnership or any other form of joint venture, each member of the consortium, partnership or joint venture; (b) if Respondent is or will be a special purpose limited liability entity formed for this Project, each member or owner of such entity; or (c) if Respondent is a corporation, the Respondent. For the avoidance of doubt, a Lead Member can be a Lead Designer or a Lead Contractor.

Minority, Women, and Small Business Enterprise (MWSBE) - A minority, female, or small business that meets the requirements of Article V of Chapter 15 of the Houston Code of Ordinances.

Other Team Members – Members of the Project Team other than the Lead Contractor(s), Lead Designer(s), and Lead Member(s).

Professional Engineering and Contractor Licenses – Licenses required in the State of Texas to practice engineering and construction for the purposes of completing the Project.

Project – Northeast Water Purification Plant Expansion.

Project Advisor/Technical Consultant (PATC) – A third party consultant contracted to the City and its subconsultants.

Project Reference Documents – The documents listed in Attachment B (Project Reference Documents) and described in Section 1.4 of this RFQ.

Project Team – For each Respondent, the entities and persons identified in the SOQ as the Respondent; the Lead Member(s), Lead Contractor(s), Lead Designer(s), the Other Team Members, and the Key Personnel.

PWE Website – The website identified in Section 1.6 of this RFQ.

Request for Proposals (RFP) – The document provided to Shortlisted Respondents that initiates the second step in the City's two-step procurement process employed to procure a Design-Builder for the Project.

Request for Qualifications (RFQ) – This document.

Respondent – The entity responding to this Solicitation by submitting the SOQ; and that, if selected by the City pursuant to the RFP, will enter into the Design-Build Agreement as the Design-Builder.

Responsiveness Requirements – The requirements set forth in Subsection 6.3 of this RFQ that, at a minimum, must be satisfied (or waived by the City) in order for the SOQ to be evaluated and ranked according to the Evaluation Criteria.

City of Houston, Texas

Second Supplements – The four agreements entitled “Second Supplement to Water Supply Contract” between the City and each Authority.

Shortlist – A limited list of Respondents selected by the City to compete in the RFP process.

Shortlisted Respondent – Those Respondents invited to submit Proposals in response to the RFP.

SOQ Submittal Deadline – The date set forth in Section 4.2 of this RFQ.

Attachment B

Project Reference Documents

The following Project Reference documents are provided:

1. Drawings:
 - Figure 1- Location and Vicinity Maps
 - Figure 2 - Overall Site Plan
 - Figure 3- Intake Area Site Plan
 - Figure 4- Treatment Facility Site Plan
2. Report No. 1 – Concept Planning Report
3. Report No. 2 – 2012 Plant Shutdowns and Responses Report
4. Report No. 3 – Upgrades and Expansion Report:
 - Volume I – Existing Facility Audit
 - Volume II – NEWPP Expansion
 - Volume III – Appendices
 - Volume IV - Existing Facility Condition Assessment Information
5. Second Supplements:
 - Water Supply Contract Second Supplement_City & CHCRWA
 - Water Supply Contract Second Supplement_City & NFBWA
 - Water Supply Contract Second Supplement_City & NHCRWA
 - Water Supply Contract Second Supplement_City & WHCRWA

The above documents can be obtained by Respondents from the PWE Website www.NEWPPExpansion.houstontx.gov.

Respondents should contact the City per Section 4.2 of this RFQ if there is any issue or difficulty obtaining these documents from the website.

Attachment C

Submission Forms

1. Transmittal Letter Form (include in Appendix A of SOQ)
2. Project Reference Form (include in Appendix D of SOQ)
3. Project Experience Verification Form (for reference only, not included in SOQ)
4. Financial Data Form (include in Appendix B of SOQ)
5. Bank Credit Reference Form (include in Appendix B of SOQ)

**TRANSMITTAL LETTER FORM
CITY OF HOUSTON, TEXAS
RFQ #DB15-01**

(To be typed on Proposer's Letterhead)

[Date]

City of Houston
Attn: Mr. Jeffrey Benjamin, Project Director
Department of Public Works and Engineering
611 Walker, 19th Floor
Houston, Texas 77002

Re: NEWPP Expansion Design-Build Project

_____ a [INSERT STATE] [INSERT TYPE OF ENTITY]
(the "Respondent") hereby submits its Statement of Qualifications (SOQ) in response to the Request for Qualifications (RFQ) for the Northeast Water Purification Plant (NEWPP) Expansion Design-Build Project (Project) issued by the City of Houston, Texas (the "City") on February [], 2015, as amended.

As a duly authorized representative of the Respondent, I hereby certify, represent, and warrant, on behalf of the Respondent team, as follows in connection with the SOQ:

The Respondent acknowledges receipt of the RFQ and the following addenda:

<u>No.</u>	<u>Date</u>
_____	_____
_____	_____
_____	_____
_____	_____

The submittal of the SOQ has been duly authorized by, and in all respects is binding upon, the Respondent. Attachment 1 to this Transmittal Letter is a Certificate of Authorization, which evidences my authority to submit the SOQ and bind the Respondent.

The Respondent has completely reviewed and understands and agrees to be bound by the requirements of the RFQ, including all addenda thereto.

All information and statements contained in the SOQ are current, correct, and complete, and are made with full knowledge that the City will rely on such information and statements in determining whether the Respondent will proceed to the next phase of the procurement.

The SOQ has been prepared and is submitted without collusion, fraud, or any other action taken in restraint of free and open competition for the services contemplated by the RFQ.

Neither the Respondent, nor any Respondent team member is currently suspended or debarred from doing business with any governmental entity.

The Respondent has reviewed all of the engagements and pending engagements of the Respondent, and no potential exists for any conflict of interest or unfair advantage.

Respondent confirms that all Key Personnel as represented in the SOQ will remain as part of the Respondent's team ("Project Team"), in their represented roles, for the duration of the Project.

Respondent certifies that each engineer selected and designated in the SOQ was based upon demonstrated competence and qualifications, in the manner provided by Section 2254.004 of the Texas Government Code.

The principal contact person who will serve as the interface between the City and the Respondent for all communications is:

Principal Contact: _____

NAME: _____

TITLE: _____

ADDRESS: _____

PHONE FAX: _____

E-MAIL: _____

The key technical and legal representatives available to provide timely response to written inquiries submitted, and to attend meetings requested by the City, are:

Technical Representative: _____

NAME: _____

TITLE: _____

ADDRESS: _____

PHONE FAX: _____

E-MAIL: _____

Legal Representative: _____

NAME: _____

TITLE: _____

ADDRESS: _____

PHONE FAX: _____

E-MAIL: _____

The federal and state tax identification numbers of the Respondent are _____
and _____, respectively.

The Respondent hereby certifies that it has not discriminated and will not discriminate against minority, women or emerging small business enterprises in obtaining any required subcontracts.

There is no action, suit or proceeding, at law or in equity, before any court or similar governmental body, against the Respondent, wherein an unfavorable decision, ruling or finding would have a materially adverse affect on the ability of the proposed Respondent to perform their respective obligations under the Design-Build Agreement, as applicable, or the other transactions contemplated hereby, or which, in any way, would have a materially adverse effect on the validity or enforceability of the obligations proposed to be undertaken by the Respondent, or any agreement or instrument entered into by the Respondent in connection with the transactions contemplated hereby.

The Respondent has completed all Submittal Forms and such Submittal Forms are a part of this SOQ.

Name of Respondent

Name of Designated Signatory

Signature

Title

Note: Requirements for execution of the Transmittal Letter Form are set forth in Section 5.3.1 of the RFQ. If the signatory is a corporation, the Transmittal Letter shall be in the corporate name by the president or other corporate officer with authority to bind the corporation, and the corporate seal shall be affixed and attested to by the clerk. A certificate of the secretary of the corporation evidencing the officer's authority to execute the SOQ shall be attached.

If the signatory is a limited partnership or a limited liability company, the Transmittal Letter shall be executed by the managing partner(s) or managing member thereof, and such entity shall also submit proof of authority to so execute the SOQ, in a form satisfactory to the City. Any partner or member that is a corporation shall follow the requirements for execution by a corporation, as set forth above.

(Notary Public)

State of _____ City of _____

On this _____ day of _____, 2015, before me appeared _____,
personally known to me to be the person described in and who executed this _____ and
acknowledged that (she/he) signed the same freely and voluntarily for the uses and purposes therein
described.

In witness thereof, I have hereunto set my hand and affixed by official seal the day and year last written
above.

(seal)

Notary Public in and for the State of _____

(Name printed)

Residing at _____

My Commission Expires _____

Attachment 1 to Transmittal Letter

CERTIFICATE OF AUTHORIZATION*

I, _____, a _____ resident of the State of _____, DO HEREBY CERTIFY that I am the Clerk/Secretary of _____, a corporation duly organized and existing under and by virtue of the laws of _____; that I have custody of the records of the corporation; and that as of the date of this certification, _____ holds the title of the corporation, and is authorized to execute and deliver in the name and on behalf of the corporation the Statement of Qualifications submitted by the corporation in response to the Request for Qualifications (RFQ) for the

_____, (Project), issued by the _____, _____ on _____, 2015, as amended; and all documents, letters, certificates and other instruments which have been executed by such officer on behalf of the corporation in connection therewith.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the corporate seal of the corporation this _____ day of _____, 2015.

(Affix Seal Here)

Clerk/Secretary

** **Note:** Separate certifications shall be submitted if more than one corporate officer has executed documents as part of the SOQ. Respondents shall make appropriate conforming modifications to this Certificate in the event that the signatory's address is outside of the United States.*

**PROJECT REFERENCE FORM
CITY OF HOUSTON, TEXAS
RFQ #DB15-01**

Complete the following form for each representative project. A minimum of two (2) reference projects each for the Lead Designer(s) and Lead Contractor(s) to demonstrate experience relevant to the Project; or a minimum of four (4) reference projects for a single Lead Design and a single Lead Contractor. A maximum of a total of twelve (12) representative projects shall be provided. Completed Project Reference Forms should be included in Appendix E (Project Reference Forms).

Owner Name and Location:
Period of Performance (Contract Start and End Dates):
Contract Value:
Summary of Work Performed (including Self-Performed Work):
Description of Whether MSWBE and Local Business Goals were Met:
Description of Whether Schedule and Budget were Met:
Key Personnel Involved in Project (and Roles of Key Personnel):
Reference(s) (Name, Title, Address, Phone):

Note: This form is included for informational purposes only. It will be used by the City to verify project experience. This form does not need to be included in the Respondent's SOQ.

**PROJECT EXPERIENCE VERIFICATION FORM
CITY OF HOUSTON, TEXAS
RFQ DB15-01**

Respondent's Name: _____

Name of Owner Contacted: _____

Name of Reference Project: _____

Contact Person: _____ Telephone Number: _____

For each question below, provide a brief description of the answer from the Contact and circle Y or N to indicate whether the response received from contact substantively confirm information provided by Respondent in Project Reference Form.

Did the Respondent participate in the Project, and in what capacity?	Y or N
What was the scope of the Project (i.e. description of Project)?	Y or N
What was the contract value of the Project?	Y or N
What was the Project schedule/duration?	Y or No
Were the Project budget and schedule objectives met?	Y or No
Were the Project MSWBE and Local Business objectives met?	Y or No
Which Key Personnel were involved in the Project and in what role(s)?	Y or N

Questionnaire Completed by: _____
(Printed Name) (Signature)

Date: _____

**FINANCIAL DATA FORM
CITY OF HOUSTON, TEXAS
RFQ DB15-01**

Company Name: _____

Project Proposed Role: _____

Year:	2014	2013	2012
A. Operating Revenues			
B. Operating Expense (not including Depreciation and Amortization)			
C. Depreciation and Amortization			
D. Operating Income (A-B-C)			
E. Net Income			
F. Total Assets			
G. Current Assets			
H. Total Liabilities			
I. Current Liabilities			
J. Net Worth (Equity) (F-H)			
K. Market Price per Share (as of 12/31)			
L. No. of Outstanding Shares (as of 12/31)			

**BANK CREDIT REFERENCE FORM
CITY OF HOUSTON TEXAS
RFQ #DB15-01**

Please provide the following information for the Respondent. Sign and date the form.

Bank Reference for ("Company"): _____

Name of Banking Organization: _____

Address: _____

Contact Individual: _____

Phone No.:_____ Fax No.:_____

Email:_____

Please answer the following questions:

Has your organization extended credit to the Respondent in the past 5 years? Yes No

Has the Respondent ever defaulted on a loan with your institution? Yes No

Has the Respondent's credit history included any instances of delinquent payments? Yes No

To your knowledge, has the Respondent ever filed for bankruptcy or been involved in any bankruptcy proceedings? Yes No

To your knowledge, have any of the corporate officers of the Respondent ever been in default on a loan?
Yes No

To your knowledge, has any creditor ever filed any criminal charges against the Respondent?
Yes No

Please discuss any other questions or issues that may have come out in any financial due diligence evaluation or credit check performed by your institution.

Overall, how would you rank the financial stability or credit worthiness of the Respondent (e.g., excellent, good, satisfactory, poor)?

Name: _____

Signature_____

Title: _____

Date: _____